

TRANSMITTAL FORM

U.S. Application No. : New
Filing Date : September 22, 1999
Application of: : White, Jr., Newton B.
For: : Exchange Method and Apparatus
Attorney Docket No. : GRENP001NP

Enclosures:

- Transmittal Letter to the United States DO/EO/US
Concerning a Filing Under 35 U.S.C. 371
- Check No. 005427 in the amount of \$3,764.00
- Small Entity Statement

Date: September 22, 1999

Carl Oppedahl
Carl Oppedahl, Reg. No. 32,746
Marina T. Larson, Reg. No. 32,038
OPPEDAHL & LARSON LLP
P.O. Box 5270
Frisco, CO 80443-5270
Tel: 970-668-2050
Fax: 970-668-2082

CERTIFICATE OF MAILING

CERTIFICATE OF EXPRESS MAIL UNDER 37 C.F.R. § 1.10

EL362857587US

"Express Mail" Mailing Label No.

Date of Deposit September 22, 1999. I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to:

Box PCT
Assistant Commissioner for Patents
Washington, D.C. 20231

Mary Ann Healey
(Type or print Name of person mailing paper or fee)

Mary Ann Healey
(Signature of person mailing paper or fee)

FORM PTO-1390
(REV. 1-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

GRENPO01NP

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

097381742

INTERNATIONAL APPLICATION NO.
PCT/US98/17472INTERNATIONAL FILING DATE
21 AUGUST 1998 (21.08.98)PRIORITY DATE CLAIMED
22 AUG 1997; 8 OCT 1997; 25 NOV 1997TITLE OF INVENTION
EXCHANGE METHOD AND APPARATUSAPPLICANT(S) FOR DO/EO/US
WHITE, JR., NEWTON B.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

Small Entity Statement

| | | | | | |
|---|--------------|-------------------------------|------------|---------------------------|----|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5) | | INTERNATIONAL APPLICATION NO. | | ATTORNEY'S DOCKET NUMBER | |
| 09/381742 | | T/US98/17472 | | GRENPO01NP | |
| 17. <input checked="" type="checkbox"/> The following fees are submitted: | | | | CALCULATIONS PTO USE ONLY | |
| BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): | | | | | |
| Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO | | | | \$1070.00 | |
| International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO | | | | \$930.00 | |
| International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO | | | | \$790.00 | |
| International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) | | | | \$720.00 | |
| International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) | | | | \$98.00 | |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | \$ 98 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$ | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | \$ | |
| Total claims | 256 - 20 = | 236 | x \$22.00 | \$ 5,192 | |
| Independent claims | 27 - 3 = | 24 | x \$82.00 | \$ 1,968 | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$270.00 | \$ 270 | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ 7,528 | |
| Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28). | | | | + | |
| SUBTOTAL = | | | | \$ 3,764 | |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$ 0 | |
| TOTAL NATIONAL FEE = | | | | \$ 3,764 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + | | | | \$ 0 | |
| TOTAL FEES ENCLOSED = | | | | \$ 3,764 | |
| | | | | Amount to be refunded: | \$ |
| | | | | charged: | \$ |

- a. ☒ A check in the amount of \$ 3,764 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 15-0610. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

OPPEDAHL & LARSON LLP
PO BOX 5270
FRISCO CO 80443-5270



021121

PATENT TRADEMARK OFFICE

SIGNATURE

CARL OPPEDAHL

NAME

32,746